

**CORPORATION LICENSE APPLICATION**

RE 201 (Rev. 4/07)

DRE RECEIVED DATE

**GENERAL INFORMATION**➤ ***This application may be used to license:***

- ✓ A corporation with a designated broker-officer,
- ✓ An additional broker-officer with a new or currently licensed corporation, OR
- ✓ A new officer as a substitute (replacement) for the existing designated broker-officer.

➤ **Read Sections III and IV before completing this application.**

- A Certificate of Status or Articles of Incorporation and the appropriate fee **must** accompany this form. Refer to Section IV.
- Any changes (addresses, DBA, etc.) to a currently licensed corporation must be submitted on a Corporation Change Application (RE 204A).

**SECTION I — CORPORATION INFORMATION**

1A. DOES THIS CORPORATION CURRENTLY HOLD OR HAS IT PREVIOUSLY HELD A REAL ESTATE LICENSE IN CALIFORNIA?

☐ NO☐ YES

IF YES, COMPLETE ITEMS 1B AND 1C.

DRE USE ONLY

1B. IDENTIFICATION NUMBER

1C. EXPIRATION DATE

2A. CORPORATION NAME (PRINT NAME AS IT APPEARS ON CERTIFICATE OF STATUS, DO NOT LIST FICTITIOUS BUSINESS NAMES.)

2B. CALIFORNIA SECRETARY OF STATE IDENTIFICATION NUMBER (REFER TO PAGE 4)

2C. CALIFORNIA FRANCHISE TAX BOARD IDENTIFICATION NUMBER (REFER TO PAGE 4)

3A. MAILING ADDRESS (STREET ADDRESS OR POST OFFICE BOX)

3B. CITY

3C. STATE

3D. ZIP CODE

4A. MAIN OFFICE ADDRESS (STREET ADDRESS - MUST BE A PHYSICAL ADDRESS)

4B. CITY

4C. STATE

**CA**

4D. ZIP CODE

5. FICTITIOUS BUSINESS NAME (IF ANY) – ATTACH A COPY OF THE FICTITIOUS BUSINESS NAME STATEMENT AS FILED WITH THE COUNTY CLERK.

**SECTION II — BROKER-OFFICER INFORMATION**

1A. DO YOU CURRENTLY HOLD OR HAVE YOU PREVIOUSLY HELD A REAL ESTATE LICENSE IN CALIFORNIA?

☐ NO☐ YES

IF YES, COMPLETE 1B–1D.

1B. LICENSE IDENTIFICATION NUMBER

1C. TYPE OF LICENSE

1D. EXPIRATION DATE OF LICENSE

2. NAME OF BROKER-OFFICER (LAST, FIRST &amp; MIDDLE)

3. SOCIAL SECURITY NUMBER (**REQUIRED** — SEE PRIVACY NOTICE)

4. BIRTH DATE (MM/DD/YYYY)

5. CORPORATE OFFICER TITLE

6. TYPE OF BROKER-OFFICER LICENSE REQUESTED: (CHECK ONE) REFER TO FEE SECTION ON PAGE 4.

☐ DESIGNATED BROKER-OFFICER☐ ADDITIONAL BROKER-OFFICER (**Refer to Fees.**)☐ SUBSTITUTION OF CURRENT DESIGNATED BROKER-OFFICER (**Refer to page 4, Section II Instructions, #6.**)

7. UPON BECOMING LICENSED, WILL THE CORPORATION, FOR COMPENSATION, MAKE OR ARRANGE (BROKER) LOANS SECURED BY REAL PROPERTY OR SELL EXISTING NOTES SECURED BY DEEDS OF TRUST? (CHECK ONE)

☐ NO☐ YES

(942)

**FOR DRE USE ONLY**

RESTRICTED LICENSE

☐ CORPORATION☐ OFFICER

FINGERPRINTS

☐ RECEIVED☐ NOT NEEDED

FLAG CLEARANCE

VIOLATIONS

CLEARANCE REC'D

☐ DOJ☐ FBI

RAP REC'D

☐ DOJ☐ FBI

NOTES

EXAM ID NUMBER

PROCESSOR # &amp; DATE PROCESSED

LICENSE EFFECTIVE DATE

LICENSE EXPIRATION DATE

**SECTION II — BROKER-OFFICER INFORMATION (Continued)**

8. DO YOU RESIDE IN THE STATE OF CALIFORNIA?

☐ NO ☐ YES IF NO, THEN A CONSENT TO SERVICE OF PROCESS (RE 234) MUST ALSO BE COMPLETED. (Refer to #8 instruction on page 4.)

9. BUSINESS TELEPHONE NUMBER (DO NOT LIST FAX NUMBERS.)

(INCLUDE AREA CODE)

10. RESIDENCE TELEPHONE NUMBER

(INCLUDE AREA CODE)

11. HAVE YOU EVER USED ANY OTHER NAMES (i.e., MAIDEN NAME, AKA, ETC.)?

☐ NO ☐ YES IF YES, LIST NAMES USED.

12. HEIGHT

13. WEIGHT

14. COLOR OF EYES

15. COLOR OF HAIR

16. GENDER

☐ MALE ☐ FEMALE.
**BACKGROUND INFORMATION**

Carefully read and provide detailed answers to questions 17-20. You must provide a "yes" or "no" response to all questions, and also completely and accurately provide the detailed information required in item(s) 21 and 22 below. Attach additional sheets if you need more space. Failure to disclose pertinent information may result in denial of your license application and/or delays.

17. HAVE YOU EVER BEEN CONVICTED OF A MISDEMEANOR OR FELONY? **CONVICTIONS EXPUNGED UNDER PENAL CODE SECTION 1203.4 MUST BE DISCLOSED. HOWEVER, YOU MAY OMIT TRAFFIC CITATIONS WHICH DO NOT CONSTITUTE A MISDEMEANOR OR FELONY. IF YES, COMPLETE ITEM 21** .....

☐ YES ☐ NO

18. ARE THERE CRIMINAL CHARGES PENDING AGAINST YOU AT THIS TIME? **IF YES, COMPLETE ITEM 21** .....

☐ YES ☐ NO

19. HAVE YOU EVER HAD A DENIED, SUSPENDED, RESTRICTED OR REVOKED BUSINESS OR PROFESSIONAL LICENSE (INCLUDING REAL ESTATE), IN CALIFORNIA OR ANY OTHER STATE? **IF YES, COMPLETE ITEM 22** .....

☐ YES ☐ NO

20. ARE THERE ANY LICENSE DISCIPLINARY ACTIONS PENDING AGAINST A BUSINESS OR PROFESSIONAL LICENSE YOU HOLD AT THIS TIME? ..... **IF YES, COMPLETE ITEM 22.**

☐ YES ☐ NO
**CONVICTION DETAILS**

"Convicted" as used in Item 17 includes a verdict of guilty by judge or jury, a plea of guilty, a plea of nolo contendere (i.e., "no contest"), or a forfeiture of bail in the courts (including military courts) of any state, commonwealth, possession or country. All convictions must be disclosed, no matter how long ago they occurred, even if the plea or verdict was set aside, the conviction dismissed or expunged, or you have been pardoned. Convictions occurring while you were a minor (under 18 years of age) must be disclosed unless the record of the conviction has been sealed under Section 1203.45 of the California Penal Code or Section 781 of the California Welfare and Institutions Code.

21. DETAILED EXPLANATION OF ITEM 17 AND/OR 18.

COMPLETE ONE LINE FOR EACH VIOLATION AND PROVIDE EXPLANATION BELOW. IF YOU ARE UNABLE TO PROVIDE THIS INFORMATION, PROVIDE ALL THE REQUESTED INFORMATION YOU CAN OBTAIN, WITH AN EXPLANATION FOR THE MISSING INFORMATION. IF THE CONVICTION STATUS HAS BEEN SUBSEQUENTLY CHANGED OR REDUCED, NOTE THAT FACT IN THE AREA PROVIDED FOR ADDITIONAL INFORMATION.

ATTACHMENTS FOR ADDITIONAL INFORMATION: SPECIFY WHICH LINES YOU ARE REFERRING TO. **EACH ADDITIONAL SHEET MUST BE SIGNED BY APPLICANT.**

\* CODE SECTION VIOLATED (i.e., 1014, 484, ETC.)

\*\* CODE VIOLATED (i.e., U.S. CODE, PENAL CODE, ETC.)

\*\*\* DISPOSITION (i.e., PROBATION, PAROLE, FINE, LENGTH OF TERM, etc.)

COURT OF CONVICTION (Name and Address)	ARRESTING AGENCY (Name and Address)	DATE OF CONVICTION	TYPE OF CONVICTION	* CODE SECTION VIOLATED	** CODE VIOLATED	*** DISPOSITION	CASE NUMBER
<b>Example:</b> Sacramento Cnty. 456 Main St., Sac	Sacramento City Police 123 Main St., Sac	2/20/87	<input type="checkbox"/> Felony <input checked="" type="checkbox"/> Misdemeanor	484	Penal Code	6 months probation and \$200 fine	1234
21A.			<input type="checkbox"/> Felony <input type="checkbox"/> Misdemeanor				
21B.			<input type="checkbox"/> Felony <input type="checkbox"/> Misdemeanor				
21C.			<input type="checkbox"/> Felony <input type="checkbox"/> Misdemeanor				

22. DETAILED EXPLANATION OF ITEM 19 AND/OR 20. IF NEEDED, EXPLANATION MAY BE PROVIDED BELOW.

22A. TYPE OF LICENSE	22B. LICENSE ID NO.	22C. LICENSE EXPIRATION DATE	22D. STATE
22E. ACTION (revoked, etc.)	22F. DATE OF ACTION	22G. DATE ACTION TERMINATED	22H. CODE SECTION VIOLATED

23. ADDITIONAL INFORMATION: Specify which lines you are referring to. (Attach extra sheets if more room is needed. **Each additional sheet must be signed by applicant.**)

Continued on page 3

**OFFICER CERTIFICATION**

I certify under penalty of perjury that I am an official corporate officer, and that the answers and statements given in this application are true and correct. I also certify that when the license is issued I will be 18 years of age or older, and that if licensed I will not violate any provisions of the Real Estate Law nor abuse the privileges of a real estate licensee. I understand that the license issued upon this application entitles the applicant to act only for this corporation and not in an individual capacity. I understand that if I fail to qualify for a license for any reason or withdraw

this application, the Department of Real Estate **cannot refund the fees** remitted with this application.

I hereby grant to the Real Estate Commissioner of the State of California and his authorized Department of Real Estate representatives, pursuant to Business and Professions Code 10145 and 10146, the authority to examine the financial records of any trust fund account maintained by this corporation in a financial institution, wherever located, for any period of time in which I hold a real estate license or have the right to

renewal of such real estate license or which relates to a transaction which occurred when I held such a real estate license. I understand that the information to be obtained from the financial records of the corporation trust fund account(s) is for the purpose of aiding the Commissioner in his statutory duty to enforce the provisions of the Real Estate Law.

I am aware of the provisions of Section 3700 of the Labor Code which requires every employer to be insured against liability for workers' compensation.

24. SIGNATURE OF OFFICER APPLICANT



25. DATE

26. TYPED NAME OF SIGNER

**SECTION III — REGULATION 2746*****Corporate Real Estate Brokers, Officers, Directors and Shareholders***

- (a) At the time of application for, or in the reinstatement of, an original real estate broker license, the designated officer shall file a background statement of information for each director, the chief executive officer, the president, first level vice presidents, secretary, chief financial officer, subordinate officers with responsibility for forming policy of the corporation and all natural persons owning or controlling more than ten percent of its shares, if such person has been the subject of any of the following:
- (1) Received an order or judgment issued by a court or governmental agency during the preceding 10 years temporarily or permanently restraining or enjoining any business conduct, practice or employment;
  - (2) Has had a license to engage in or practice real estate or other regulated profession, occupation or vocation denied, suspended or revoked during the preceding 10 years;
  - (3) Engaged in acts requiring a real estate license of any state without the benefit of a valid license or permit authorizing that conduct during the preceding 10 years which have been enjoined by a court of law or administrative tribunal;
  - (4) Been convicted of a crime which is substantially related to the qualifications, functions or duties of a licensee of the Department as specified in Section 2910 of these Regulations (excluding drunk driving, reckless driving and speeding violations).
- (b) The background statement shall be set forth in DRE Form 212 and shall inquire only about the information to be disclosed pursuant to subdivision (a). The background statement must be verified and completed by each corporate officer, director or stockholder as named in subdivision (a) to the fullest extent of the signatory's actual knowledge.
- (c) Whenever there is a change in the person whose background statements are required to be on file with the Department for a corporate licensee pursuant to subdivision (a) or an addition to the persons required to file statements pursuant to subdivision (a), the designated officer of the corporation shall, within 30 days thereafter file with the Department a background statement of information for each new or changed person.

Note: Authority cited: Section 10080, Business and Professions Code. Reference: Section 10152, Business and Professions Code.

**CERTIFICATION**

I certify that I have read and understand the provisions described above. (**check one**)

- ☐ I also certify that a Corporation Background Statement (RE 212) is not needed for any officers or persons owning or controlling more than ten percent of the corporation shares including myself.
- ☐ A completed Corporation Background Statement(s) is attached for each officer, director or shareholder with a reportable item under Regulation 2746.

27. CORPORATE NAME

28. SIGNATURE OF OFFICER APPLICANT



29. DATE

## SECTION IV — READ AND RETAIN FOR FUTURE REFERENCE

### GENERAL INFORMATION

- Complete all information in Sections I and II according to the instructions.
- Type or print clearly in ink. *Penciled applications will be returned.*

**Filing Period** — Unless currently licensed either as a real estate broker or as a real estate broker-officer, your application and license fee are to be filed within one year from the date you successfully completed your examination. (Section 10201.6 of the Business and Professions Code.)

**Certificate of Status** — A corporation not currently licensed by this Department must include a Certificate of Status from the California Secretary of State. Articles of Incorporation will be accepted in lieu of the Certificate of Status provided the Articles were filed with the Secretary of State within six months preceding the date the application is submitted to our office. If the firm is not incorporated in California, either a Certificate of Qualification or Certificate of Foreign Corporation from the California Secretary of State is required. If a Certificate of Status, Certificate of Qualification, or Certificate of Foreign Corporation is submitted, the certificate must be executed no more than thirty days prior to the date the application is submitted to our office.

**Corporation Background Statement (RE 212)** — Regulation 2746 requires the designated officer who obtains the original corporation license to file an RE 212 for any director, chief executive officer, president, first level vice presidents, secretary, chief financial officer and subordinate officers with responsibility for forming policy of the corporation and all natural persons owning or controlling more than ten percent of its shares, **IF** such a person has been subject of any of the items enumerated in the regulation. If none of the officers have been a subject of any of the items enumerated in the regulation, then an RE 212 is not needed. **In all instances**, the broker-officer must complete and sign the certification in Part III of this application.

**Branch Office License** — Submit a completed Branch Office Application (RE 203) for each branch office to be licensed.

**Continuing Education** — Evidence of continuing education (completed within the previous four years) will be required for the issuance of an officer license, if the officer-applicant does not have current individual broker status. For more details/information, refer to the *Instructions to License Applicants* pamphlet or Section 10171.5 of the Business and Professions Code.

**Proof of Legal Presence** — All applicants for a real estate salesperson, broker, or officer license, must submit proof that they are legally present in the United States. A proof of legal presence document (i.e. birth certificate, resident alien card, etc.) and a State Public Benefits Statement (RE 205) must be submitted before a license will be issued. Please refer to that form for further instructions.

### COMPLETION INSTRUCTIONS FOR SECTION I

*Note:* Any changes to a currently licensed corporation must be submitted on a Corporation Change Application (RE 204A) or Corporation License Application (RE 201) for substitution or adding an additional broker-officer.

- 1A Answer licensing question and complete 1B and 1C, if you answered YES.
- 2 **Corporation Name & ID** — Enter the complete name of corporation as shown on the Certificate of Status. If a foreign

corporation, enter the name as the corporation will be licensed in California.

Enter **either** the California Secretary of State's identification number (as shown on the Articles of Incorporation) in Item 2B; **or** enter the California Franchise Tax Board identification number in Item 2C.

- 3 **Mailing Address** — Enter the mailing address of the corporation. All mail sent by DRE will be delivered to this address. Note: Business and mailing addresses are public information and are available to the public. Please consider this, especially when identifying a mailing address.
- 4 **Main Office Address** — Enter the primary place of business of the corporation (must be a California address).
- 5 **Fictitious Business Name** — Enter the name exactly as it appears on the Fictitious Business Name Statement (FBNS) as filed with the county clerk. The DBA must be filed in the county of the corporation's main office address.
  - Prior to filing your FBNS with the county, you may wish to contact a local DRE district office, or check our Web site at **www.dre.ca.gov** to determine if the name is already in use by another broker.
  - Submit a copy of the FBNS with the "filed stamp" from the county clerk's office.
  - The corporation's name must appear as a registrant on the FBNS.

### COMPLETION INSTRUCTIONS FOR SECTION II

- 1 Answer licensing question and complete 1B–1D, if you answered YES.
- 2 **Name of Broker-Officer** — Enter the complete name of the broker-officer to be licensed.
- 3 **Social Security Number** — Your SSN is mandatory. Refer to Privacy Notice on page 5.
- 4 **Birth Date** — Enter your birth date.
- 5 **Corporate Officer Title** — Enter the official title (e.g., president, vice president, etc.) held within the corporation. "Broker of record" is not sufficient. The designated officer must be an official corporate officer.
- 6 **Type of Broker-Officer License Requested** — Check the appropriate box. Note: If "additional broker-officer" checked, submit appropriate fee. If "substitution of current designated broker-officer" checked, attach resignation of former designated officer or Resolution of Board indicating that employment has been terminated.
- 7 **Brokering Loans** — Check the appropriate box.
- 8 **California Residence** — Check the appropriate response.
 

**Non-California Residents** — If residing outside the State of California, a *notarized* Consent To Service of Process (RE 234) is also required, if not already on file.
- 9,10 **Business & Residence Telephone Numbers** — Enter the area code and phone numbers.
  - Questions 11–23 must be answered and fully explained. Insufficient or no explanations will result in a significant delay in

processing your license application.

- Read **Officer Certification**; then sign line #24, date #25, and type the name of the person signing #26.

### COMPLETION INSTRUCTIONS FOR SECTION III

- Read **Regulation 2746**; type the name of corporation on line #27, sign #28, and date #29.
- **Note** — At least one box must be checked in the certification section.

### FINGERPRINT INFORMATION

One set of classifiable electronic fingerprints is required from every real estate license applicant unless the applicant is currently licensed or has held a California real estate license which expired during the past two years. Fingerprints must be submitted through the California Department of Justice (DOJ) Live Scan Program which involves the electronic taking and transmission of fingerprints to DOJ. This process is completed by a live scan service provider as noted below.

#### *Completion of Live Scan Service Request (RE 237)*

The following information must be entered in Parts 1 and 2 on RE 237:

- Application type.
- Your printed name.
- Date and place of birth, aliases (if any), height, weight, gender, hair and eye color, drivers license number, social security number and home address.
- The electronic fingerprint service provider will complete Part 4 of the form.

#### *Submission of Fingerprint Form*

After you have your fingerprints taken by the live scan service provider, a copy of this form, with Part 4 completed, must be submitted with your completed original license application and the appropriate license fee.

#### *Fees*

Effective July 1, 2001, original license applicants who reside in California will pay a \$56 fingerprint processing directly to the live scan fingerprint service provider. A separate fee will be charged for the service of taking the electronic fingerprints by the live scan provider. That fee may vary slightly depending on the live scan provider you choose.

#### *Fingerprint Services (Contact the facility for fees and hours)*

If you are applying for your original license, a listing of live scan service providers can be reviewed by checking the Web site of the California Department of Justice at <http://caag.state.ca.us/fingerprints/publications/contact.htm>. A link to this Web site can also be found in the "Links" section of the DRE Web site, [www.dre.ca.gov/links\\_sub.htm](http://www.dre.ca.gov/links_sub.htm).

#### *Out-of-State Applicants*

Applicants who reside outside California must submit two sets of fingerprints in ink using the FBI Applicant Fingerprint Card (FD-258 Rev. 5/99). Two cards will be provided to out-of-state license applicants with the original license application. The \$56 fingerprint processing fee should be submitted with the completed fingerprint cards, original license application, and license fee.

### FEES AND MAILING INFORMATION

**Fees** — Refer to Exam & Licensing Fees (RE 206) for current fee schedule.

**Acceptable payment methods** — cashiers' check, money order, check or credit card.

- Make check or money order payable to:  
**Department of Real Estate**
- Credit card payments must be submitted with a Credit Card Payment (RE 909) form.

**Mail to:** Department of Real Estate  
P.O. Box 187004  
Sacramento, CA 95818-7004

### NOTICE OF APPEAL PROCESS

The Department of Real Estate has established time periods for the processing of permit applicants as required by the Permit Reform Act (Government Code Section 15374 et seq.). These time periods are set forth in Regulation 2709, Chapter 6, of Title 10, of the California Code of Regulations. Failure to comply with these time periods may be appealed to the Secretary of the Business, Transportation, and Housing Agency, 980 9th Street, Suite 2450, Sacramento CA 95814-2719, pursuant to Section 7600 et seq. of Title 21 of the California Code of Regulations. Under certain circumstances, the Secretary may require the Department of Real Estate to reimburse the applicant for the filing fees paid in connection with the application.

### PRIVACY NOTICE

Section 1798.17 of the Civil Code requires this notice be provided when collecting personal or confidential information from individuals. *Each individual has the right to review personal information maintained by this agency, unless access is exempted by law.* Inquiries should be directed to:

Department of Real Estate  
Managing Deputy Commissioner IV, Licensing  
2201 Broadway, Sacramento, CA 95818  
Telephone: (916) 227-0931

General powers of the Commissioner, Section 10050, 10071 and 10075 of the Business and Professions Code authorizes the maintenance of this information.

Business and Professions Code Section 30, added by Statutes 1986, Chapter 1361, Section 1, requires

each Real Estate licensee to provide to the Department of Real Estate his or her Social Security number which will be furnished to the Franchise Tax Board. Failure to provide this information is subject to the penalty provided in Revenue & Tax Code, Section 19276. Your Social Security number shall not be deemed a public record and shall not be open to the public for inspection. The Franchise Tax Board will use your number to establish identification exclusively for tax purposes.

The Real Estate Law and the Regulations of the Commissioner require applicants to provide the Department with specific information. If all or any part of the required information is not provided processing may be delayed. In addition, the Commissioner may suspend or revoke a license, or in the

case of a license applicant, may deny the issuance of misstatements of facts (including a failure to disclose a material fact) in an application for a license.

The information requested in this form is primarily used to furnish license status information to the Department's regulatory section, and to answer inquiries and give information to the public on license status, business address and actions taken to deny, revoke, restrict or suspend licenses for cause.

This information may be transferred to real estate licensing agencies in other states, law enforcement agencies (City Police, Sheriff's Departments, District Attorneys, Attorney General, F.B.I.), and other regulatory agencies (i.e., Department of Corporations, Department of Insurance, Department of Consumer Affairs, California Bar Association).